

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Bradley, K. et al.  
SERIAL NO. Not yet assigned  
FILING DATE: December 12, 2003  
INVENTION: "Optical Switches and Routers and Optical Filters"

ATTORNEY DOCKET NO. 09792350-0048  
GROUP ART UNIT: Not yet assigned  
EXAMINER: Not yet assigned

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Commissioner of Patents  
Alexandria, VA 22313-1450  
Sir:

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☒ Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
- ☐ Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
- ☐ The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)
- ☐ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☐ The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The enclosed credit card payment form to charge the fee of \$180.00 is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

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CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service with sufficient postage as Express Mail in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on December 12, 2003 bearing Label No. EV328241605US

Paula M. Theismann  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE STATEMENT**

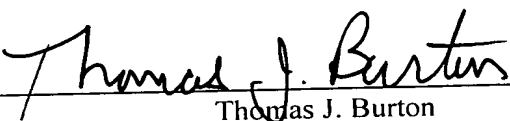
APPLICANT(S): Bradley, Kenneth, A. et al.      DOCKET NO.: 09792350-0048  
SERIAL NO.: Not yet assigned      GROUP ART UNIT: Not yet assigned  
DATE FILED: December 12, 2003      EXAMINER: Not yet assigned  
INVENTION: "Optical Switches and Routers and Optical Filters"

Mail Stop Patent Applications  
Commissioner for Patents  
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Alexandria, VA 22313-1450

S I R:

In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. § 1.98, be made during the course of examination of the above-referenced application for United States Letters Patent.

Respectfully submitted by,

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Form PTO-1449 (Rev. 8-88)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No. 09792350-0048		Serial No. not yet assigned	
<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				Applicant: Bradley, Kenneth et al.			
				Filing Date December 12, 2003		Group Art Unit: not yet assigned	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial*	A1	Document Number 4,720,160	Date 01/19/1988	Name Hicks, Jr., J. W.	Class	Subclass	Filing Date If Appropriate
	A2	5,231,533	07/27/1993	Gnokami, M. et al.			
	A3	5,875,272	02/23/1999	Kewitsch, A. S. et al.			
	A4	5,926,496	07/20/1999	Ho, S.T. et al.			
	A6	5,939,716	08/17/1999	Neal, D. R.			
	A7	5,952,651	09/14/1999	Morito, Y. et al.			
	A8	6,009,115	12/28/1999	Ho, S. T.			
	A9	6,052,495	04/18/2000	Little, B. E. et al.			
	A10	6,101,300	08/08/2000	Fan, S. et al.			
	A11	6,154,491	11/28/2000	Uetani, Y.			
<b>FOREIGN PATENT DOCUMENTS</b>							
		Document Number			Class	Subclass	Translation
	B1	WO98/53535	11/26/1998				Yes    No
	B2	WO99/39223	08/05/1999				x
	B3	WO00/29886	05/25/2000				x
	B4	WO00/35057	06/15/2000				x
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	C1	Cai, M. et al.; "Highly Efficient Optical Power Transfer to Whispering-Gallery Modes by Use of a Symmetrical Dual-coupling Configuration, No. 25, 15 February 2000, Optics Letters; pages 260-262					
	C2	Cai, M. et al.; "Fiber-Optic Add-Drop Device Based on a Silica Microsphere-Whispering Gallery Mode System", No. 6; June 6, 1999; IEEE Photonics Technology Letters; Pages 686-687					
	C3	Cai M. et al.; "Observation of Critical Coupling in a Fiber Taper to a Silica-Microsphere Whispering-Gallery Mode System"; Vol. 85, No. 1; July 3, 2000; Physical Review Letters; Dept of Applied Physics; pages 74-77					
	C4	Chiou, A. E. et al; "Interferometric Optical Tweezers"; No. 133; January 1, 1997; Optics Communications, pages 7-10					
Examiner					Date Considered		
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							